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### FAX TRANSMITTAL

**TO:** Ismael Negron, Examiner

**COMPANY:** United States Patent and Trademark Office

**FROM:** Brian N. Tufte

**RE:** U.S. Patent Appln. No.: 10/074,362  
LIGHTING APPARATUS  
Filed: February 12, 2002  
Docket No.: 1076.1101106

**DATE:** January 21, 2004

**FAX NUMBER:** 571.273.2376

**NO. OF PAGES:** 6  
(including fax cover sheet)

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**COMMENTS:** Copies of Information Disclosure Statement documents filed  
December 16, 2003.

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Receipt is hereby acknowledged for the following in the U.S. Patent and Trademark Office

Applicant: Brian N. Tufte  
Serial No. 10/074,362  
Filed: February 12, 2002  
For: LIGHTING APPARATUS  
Docket No. 1076 110:106  
Date of Deposit: December 16, 2003



Transmittal  
Certification for Information Disclosure Statement  
Information Disclosure Statement  
Form PTO 1449  
13 cited references  
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Assistant Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

VIA US MAIL

BNT/lt

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Brian N. Tufte  
Serial No.: 10/074,362 Examiner: Negron, Ismael  
Filing Date: February 12, 2002 Group Art Unit: 2875  
For: LIGHTING APPARATUS  
Docket No.: 1076.1101106

**TRANSMITTAL SHEET**

Assistant Commissioner for Patents  
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Alexandria, VA 22313-1450

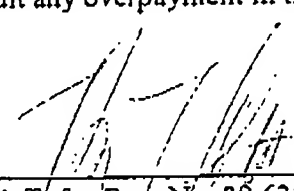
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By \_\_\_\_\_

Brian N. Tufte

We are transmitting herewith the attached:

- ☒ Information Disclosure Statement, Form PTO-1449 and 13 cited references.
- ☒ Certification for Information Disclosure Statement.
- ☒ Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No 50-0413.

  
\_\_\_\_\_  
Brian N. Tufte, Reg. No. 38,638  
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PATENTIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Brian N. Tufte

Serial No : 10/074,362

Examiner: Negron, Ismael

Filing Date. February 12, 2002

Group Art Unit 2875

For: LIGHTING APPARATUS

Docket No.: 1076.1101106

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**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97(e)**

Assistant Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the:  
Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450,  
on this 16th day of December, 2003.

By

Brian N Tufte

Dear Sir/Madam:

1. This certification is being made for the Information Disclosure Statement accompanying this certification.

2. I, the person(s) signing below certify:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1 56(c) more than three months prior to the filing of the statement.  
37 CFR §1 97(e)(2).

Dated: Jan 21 2004

Brian N. Tufte  
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Brian N. Tufte

Serial No: 10/074,362

Examiner: Negron, Ismael

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENTAssistant Commissioner for Patents  
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By

Brian N. Tufte

Dear Sirs:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Dated: February 16, 2004

Brian N. Tufte, Reg. No. 38,638  
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FORM PTO-1449

Atty. Docket No.  
1076.1101106Serial No.:  
10/074,362LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT

Applicant: Brian N. Tufte

Filing Date:  
February 12, 2002Group Art:  
2875

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No	Date	Name	Class	Sub Class	Filing Date If Appropriate
	3,885,144	05/1975	Lewis et al.			
	4,625,266	11/1986	Winter			
	5,023,762	06/1991	Tieszen			
	5,337,225	08/1994	Brookman			
	5,430,627	07/1995	Nagano			
	5,485,355	01/1996	Voskoboinik et al.			
	6,065,852	05/2000	Crumley			
	6,082,867	07/2000	Chien			
	6,129,442	10/2000	Hoefling et al.			
	6,186,649	02/2001	Zou et al.			
	6,278,827	08/2001	Sugiyama et al.			
	6,523,986	02/2003	Hoffman			
	6,526,200	02/2003	Davie			

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Country	Translation Yes No

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PAGE 7/7 \* RCVD AT 2/2/2004 5:19:33 PM [Eastern Standard Time] \* SVR:USPTO-EFXXRF-3/0 \* DNIS:8729306 \* CSID:USPTO \* DURATION (mm:ss):00:00